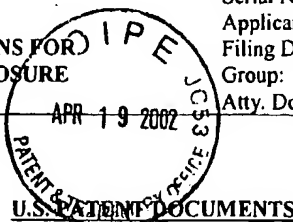


In Place of FORM PTO-1449 (Modified)

Serial No.: 10/033,050
 Applicants: Richard E. Smalley et al.
 Filing Date: December 28, 2001
 Group: 1754
 Atty. Docket No.: 11321-P012USD5

**LIST OF PATENTS AND PUBLICATIONS FOR
 APPLICANTS' INFORMATION DISCLOSURE
 STATEMENT**



RECEIVED
 APR 29 2002

Reference Designation

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
AAA						

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
SLA ABA	EP 1 176 234 A2	12/05/1993	European			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial	
SLA ACA	LI, <i>et al.</i> , "Large-Scale Synthesis of Aligned Carbon Nanotubes," <i>Science</i> , Volume 274, December 6, 1996, pp. 1701-1703.
SLA ADA	LIU, <i>et al.</i> , "Fullerene Pipes," <i>Science</i> , Volume 280, May 22, 1998, pp. 1253-1256.
SLA AEA	THESS, <i>et al.</i> , "Crystalline Ropes of Metallic Carbon Nanotubes," <i>Science</i> , Volume 273, July 26, 1996, pp. 483-487.
SLA AFA	TOHJI, <i>et al.</i> , "Purifying single-walled nanotubes," <i>Nature</i> , Volume 383, October 24, 1996, pp. 679.
SLA AGA	TOHJI, <i>et al.</i> , "Purification Procedure for Single-Walled Nanotubes," <i>J. Phys. Chem. B</i> , Volume 101, No. 11, 1997, pp. 1974-1978.
SLA AHA	AJAYAN, <i>et al.</i> , "Nanometre-size tubes of carbon," <i>Rep. Prog. Phys.</i> , Volume 60, 1997, pp. 1025-1062.
SLA AIA	FISHBINE, "Carbon Nanotube Alignment and Manipulation Using Electrostatic Fields," <i>Fullerene Science & Technology</i> , Volume 4(1), 1996, pp. 87-100.
SLA AJA	AJAYAN, <i>et al.</i> , "Aligned Carbon Nanotube Arrays Formed by Cutting a Polymer Resin-Nanotube Composite," <i>Science</i> , Volume 265, August 26, 1994, pp. 1212-1214.
SLA AKA	WANG, <i>et al.</i> , "Properties of Buckytubes and Derivatives," <i>Carbon</i> , Volume 33, No. 7, 1995, pp. 949-958.
SLA ALA	SEN, <i>et al.</i> , "Structures and Images of Novel Derivatives of Carbon Nanotubes, Fullerenes and Related New Carbon Forms," <i>Fullerene Science and Technology</i> , Volume 5(3), 1997, pp. 489-502.
SLA AMA	DRAVID, <i>et al.</i> , "Buckytubes and Derivatives: Their Growth and Implications for Buckyball Formation," <i>Science</i> , Volume 259, March 12, 1993, pp. 1601-1604.
SLA ANA	SMALLEY, "From dopyballs to nanowires," <i>Materials Science and Engineering</i> , Volume B19, 1993, pp. 1-7.
SLA AOA	CHEN, "Growth and Properties of Carbon Nanotubes," <i>Thesis for the degree Master of Science, Rice University, Houston, Texas, May 1995.</i>
SLA APA	RINZLER, <i>et al.</i> , "Field Emission and Growth of Fullerene Nanotubes," <i>Presented at the Fall, 1994 MRS Meeting, November 28, 1994, Boston, submitted for MRS proceedings, Volume 359.</i>
SLA AQA	GAMALY, <i>et al.</i> , "Mechanism of carbon nanotube formation in the arc discharge," <i>Physical Review B</i> , Volume 52, Number 3, July 15, 1995-I, pp. 2083-2089.
SLA ARA	GE, <i>et al.</i> , "Scanning tunneling microscopy of single-shell nanotubes of carbon," <i>Appl. Phys. Lett.</i> , Volume 65(18), October 31, 1994, pp. 2284-2286.

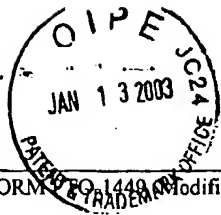
Examiner:

Date Considered:

Hendrickson

3/15/04

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



In place of FORM PTO 1449 (Modified)

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANTS' INFORMATION DISCLOSURE
STATEMENT**

Serial No.: 10/033,050
Applicants: Richard E. Smalley et al.
Filing Date: December 28, 2001
Group: 1754
Atty. Docket No.: 11321-P012USD5

Reference Designation

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
<u>SLD</u> AAA	5,698,175	12/16/1997	Hiura et al.	423	447.1	
ABA						
ACA						

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
ADA						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial: SLD AEA AJAYAN et al., "Opening carbon nanotubes with oxygen and implications for filing," *Nature*, Volume 362, pp. 522-525 (April 8, 1993).

Examiner:

Henderson

Date Considered: 3/15/04

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

AUSTIN_1\205475\1
11321-P012USD5 01/06/2003

RECEIVED
JAN 15 2003
TECHNOLOGY CENTER 1700